

ARTICLE 12430

PERFORMANCE REVIEW PROGRAM GUIDE

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SUBARTICLE 1. GENERAL PROVISIONS

1-1. Purpose. This Performance Review Program (PRP) offers employees and supervisors the opportunity to participate interactively in the evaluation process. On-going coaching, employee involvement and performance feedback work together to create an environment which fosters continuous improvement. This two-level summary-rating program incorporates the basic performance management requirements of OPM, DOD and DON.

1-2. Policy and Program Objectives. The PRP is a management tool, which communicates work expectations and goals, evaluates performance, and encourages individual improvement and organizational effectiveness.

1-3. Coverage. This program applies to all employees except the following: employees occupying excepted service positions not expected to exceed the minimum performance period established in a consecutive 12-month period; individuals who are serving in positions under a temporary appointment for less than one year, who agree to serve without a performance evaluation, and who will not be considered for reappointment or for an increase in pay based in whole or in part on performance; and individuals excluded from coverage under other applicable law.

1-4. Responsibilities.

a. Commanding Officers/Activity Heads will:

(1) Establish activity organizational goals and objectives.

(2) Implement PRP consistent with DON instructions, policies, and procedures.

(3) Review end-of-cycle report that is sent to you by the Human Resource Service Center (HRSC) and respond to the HRSC that the rating of record is either Acceptable or Unacceptable.

(4) Print and use the end-of-cycle report as a transmittal letter to forward the original performance appraisals to HRO.

(5) Prepare any resulting performance/QSI awards through electronic submission and forward to HRSC via HRO.

(6) Notify the HRSC of the ratings of record for any deferred ratings via e-mail and prepare a locally prepared transmittal letter to forward deferred performance appraisals to the HRO.

b. Executive Officers, Deputy/Associate Activity Director(s) and Department Heads will:

(1) Communicate and ensure implementation of organizational goals and requirements.

(2) Mediate to resolve performance management issues between first-level and second-level supervisors.

c. Activity Financial Officers will:

(1) Allocate performance award funds

(2) Certify funds are available for performance awards

d. Second-level supervisors will:

(1) Communicate organizational goals and requirements.

(2) When an employee is rated Unacceptable on one or more performance standards and receives an Unacceptable summary rating, the second-level supervisor reviews and approves, i.e., signs and dates, the rating of record.

(3) The second-level supervisor's review and signature is not required when the summary rating is Acceptable.

e. First-level supervisors will:

(1) Ensure goals are consistent with mission requirements, work assignments, and position responsibilities.

(2) Encourage employee participation and solicit input into the development of individual and team objectives, and performance plans. Final responsibility for ensuring establishment of such plans rests with the first-level supervisor.

(3) Select and complete the appropriate supervisory or non-supervisory performance plan from Appendix A or B for each employee. The performance plan must cover the official appraisal period and include standards and elements based on work assignments and responsibilities applicable to the employee's position. First-level supervisors must include in performance plans for assigned employees any of the additional performance elements listed in Appendix C which pertain to positions under his/her supervision. Performance plans must include all critical elements and related performance standards. Each performance plan must have at least one critical element that addresses individual performance.

(4) Meet with each employee at the beginning of the annual performance appraisal cycle to discuss work expectations, review the performance elements and standards, and sign and date the PRP form for the coming year. A signed copy of the PRP form is then presented to the employee no later than 30 days after the appraisal cycle begins.

(5) Schedule, conduct, and document regular progress reviews to provide the employee performance feedback with a focus on individual development, team cooperation, and

continuous improvement. Progress reviews should be informative and developmental in nature and include discussions between first and second level supervisors and team leaders, where applicable.

(6) Identify and document performance deficiencies, coach and counsel employees, review the performance elements and standards to ensure that performance requirements are clearly understood, and notify the second-level supervisor of the performance problem.

(7) Contact their servicing Personnel Specialist as soon as an employee exhibits any performance difficulties and/or fails to meet one or more performance standards. Unacceptable summary ratings must be substantiated with written evidence of counseling and other documentation.

(8) Prepare a rating of record for each covered employee. This includes a rating for each element and the assignment of a summary level as follows:

(a) Acceptable: The employee meets the requirements for all performance standards.

(b) Unacceptable: The employee is rated Unacceptable on one or more performance standards.

(9) Provide a copy of the rating of record to each employee.

(10) Provide assistance to employees in improving their performance at any time during the appraisal cycle that performance is determined to be Unacceptable in one or more critical elements.

(11) Recommend awards based on performance as appropriate.

f. Covered employees will:

(1) Participate in the development of their performance plan.

(2) Participate in a progress review(s).

(3) Provide input on their performance accomplishments at the end of the appraisal cycle and participate in the final appraisal discussion.

g. HRO Pensacola will:

(1) Advise managers, supervisors, team leaders, and covered employees on program requirements and related performance management issues.

(2) Maintain the Employee Performance Files.

(3) Maintain performance records and forms and make them available for pay, award, reduction-in-force, and other performance actions.

1-5. Definitions.

a. Acceptable Performance. Performance of an employee which meets the established performance requirement(s) or standards, at a level above Unacceptable, in all critical element(s) of an employee's position.

b. Activity. A field installation, headquarters command, or office.

c. Additional Element. A dimension or aspect of individual, team, or organizational performance that is not a critical or non-critical element. Such elements are not used in assigning a summary level but, like critical and non-critical elements, are useful for purposes such as communicating performance expectations and serving as the basis for granting awards. Such elements may include, but are not limited to, objectives, goals, program plans, work plans, and other means of expressing performance.

d. Appraisal. The process under which performance is reviewed and evaluated against the described performance standard(s).

e. Appraisal Period. The established period of time for which performance will be reviewed and a rating of record prepared. Examples include but are not limited to: 1 May through 30 April of the following year; 1 July through 30 June of the following year; or 1 October through 30 September of the following year.

f. Appraisal Program. The specific procedures and requirements established within the policies and parameters of the DOD Performance Appraisal System. This document constitutes an appraisal program.

g. Appraisal System. A framework of policies and procedures established by an agency, e.g., DOD, for the administration of performance appraisal programs

h. Award. Recognition for individual or team achievement that contributes to meeting organizational goals or improving the efficiency, effectiveness, and economy of the Government or which is otherwise in the public interest.

i. Closeout Rating. An appraisal conducted when an employee or first level supervisor leaves a position after the employee has been under established performance standards for 90 days or more but before the end of the appraisal cycle. Closeout ratings will be documented and used in deriving the rating of record and in some cases, may become the rating of record

j. Critical Element. A work assignment or responsibility of such importance that Unacceptable performance on the element would result in a determination that an employee's overall performance is Unacceptable.

k. Interim Appraisal. Any progress review or training appraisal conducted throughout the annual performance appraisal period.

l. Non-critical Element. Non-critical elements are not used in DON.

m. Performance. Accomplishment of work assignments or responsibilities.

n. Performance Plan. All of the elements that describe the expected performance of an individual employee. A plan must include all critical elements and their related performance standards.

o. Performance Rating. The result of a comparison between actual performance and the performance standard(s) for each critical element on which there has been an opportunity to perform for the minimum period, i.e., 90 days. A performance rating will include the assignment of a summary level.

p. Performance Standard. The management-approved expression of the performance threshold(s), requirement(s), or expectation(s) that must be met to be appraised at a particular level of performance. A performance standard may include, but is not limited to, quality, quantity, timeliness, and manner of performance.

q. Progress Review. Communicating with the employee about performance compared to the performance standards of critical elements. Progress reviews are interim appraisals and are not used as the annual rating of record.

r. Rating of Record. The performance rating prepared at the end of an appraisal period for performance over the entire period including the assignment of a summary level as specified in paragraph 6d(5). The rating of record is the official rating for pay, performance award, and retention purposes.

s. Summary Rating. The final result of the performance evaluation process. The summary rating is used to provide consistency in describing ratings of record. The two summary rating levels are Acceptable (Level 3) and Unacceptable (Level 1).

t. Training Appraisal. An appraisal conducted as part of a formal training program, lasting more than 90 days, and conducted under Civilian Personnel Instruction (CPI) 410. Training appraisals are interim appraisals and are not used as the annual rating of record.

u. Unacceptable Performance. Performance of an employee which fails to meet established performance standards in one or more critical elements.

1-6. Performance Appraisal Requirements. In accordance with the DOD Performance Appraisal System, no employee may be concurrently covered by more than one performance appraisal program.

a. Appraisal Period

(1) An annual appraisal period is required for rating of record purposes. Activities are responsible for designating the beginning and ending dates of the appraisal period.

(2) To receive a rating of record, an employee must have served for a minimum appraisal period of 90 days under an approved performance plan in the same position and under the same first-level supervisor. If necessary, the employee's rating period will be extended beyond the activity's fixed ending date to insure the minimum 90-day period.

b. Performance Plans.

(1) Each employee must have an approved written performance plan based on work assignments and responsibilities. The plan will cover the official appraisal period.

(2) Performance plans will be provided to employees within 30 days after the beginning of each appraisal period, permanent assignment to a new position, and of each detail or temporary promotion expected to last 120 days or longer. Performance plans include all critical elements and related performance standards.

(3) Each performance plan must have at least one critical element that addresses individual performance. In addition, the performance plans will include the critical elements required for specific types of positions, such as safety, security, etc. Appendix C lists the additional performance evaluation requirements.

(4) Two summary rating levels must be used for the final performance rating, with one level being Acceptable and the other level being Unacceptable. Only Acceptable level performance standards will be established.

(5) At the time performance standards are set, supervisors should certify on the performance appraisal, the currency and accuracy of the employee's position description.

c. Monitoring Performance.

(1) Progress Reviews. A review of an employee's performance will be conducted and documented at least once midway through the appraisal period.

(a) During progress reviews, first-level supervisors at a minimum will inform employees of their levels of performance by comparison with the performance elements and standards established. To the maximum extent possible, progress reviews will be informative and developmental in nature and will focus on future performance.

(b) Progress reviews do not require the assignment of a summary level; however, the first-level supervisor and employee must sign and date the performance appraisal to indicate that the review was conducted.

(2) Interim Appraisals. Interim appraisals should be conducted throughout the annual performance appraisal period, whenever needed. Interim appraisals are considered in determining the annual rating of record.

(3) Training Appraisals. Training appraisals conducted under CPI 410 covering periods of at least 90 days should be considered in the annual performance rating process. Training appraisals do not serve as closeout ratings or as ratings of record.

(4) Closeout Ratings. Closeout ratings must be conducted when:

(a) An employee completes a detail or temporary promotion of 120 days or longer under established performance standards. This requirement also applies to employees on “loan” from another activity/agency for 120 days or longer.

(b) An employee changes positions, is promoted, or moves to a new agency/activity, after being under established performance standards a minimum of 90 days.

(c) The first level supervisor leaves the position after the employee is under established performance standards for a minimum of 90 days. In this situation, the employee may continue under the same performance plan unless changed by the new supervisor.

(d) Closeout ratings may become the rating of record if the following criteria are met:

(1) There is insufficient time, i.e., 90 days, to establish a new performance plan and rate the covered employee in their assigned position before the end of the appraisal period.

(2) The first level supervisor takes into consideration any other closeout ratings conducted during the appraisal period.

(5) Ratings of Record.

(a) Within 30 days after the end of the appraisal period, a written rating of record will be given to each employee, unless the employee has not completed the 90-day minimum period of performance.

(b) When a rating of record cannot be prepared at the time specified, the appraisal period will be extended to insure the minimum 90-day period. A rating of record should be prepared as soon as practicable once the necessary conditions have been met.

(c) The rating of record or performance rating for a disabled veteran will not be lowered because the veteran has been absent from work to seek medical treatment.

(6) Summary Level Rating.

(a) A summary level rating must be assigned when a performance rating is prepared as part of a rating of record.

(b) Ratings are based on a comparison of performance against written standards. First-level supervisors will appraise performance elements as Acceptable, i.e., level 3, or Unacceptable, i.e., level 1. If all elements are appraised as Acceptable, the summary rating will be Acceptable. An Unacceptable summary rating level is assigned if, and only if, performance on one or more critical elements is appraised as Unacceptable.

(7) Recording the results.

(a) The performance rating shall be signed and dated by the employee and immediate supervisor. The employee's signature does not necessarily constitute agreement with the rating; it merely signifies the employee has received it.

(b) Each employee will be provided a copy of the rating of record within 90 days after the end of the annual appraisal cycle.

1-7. Unacceptable Performance.

a. At any time during the appraisal period that performance is determined to be Unacceptable in one or more critical elements, employees are to be formally notified in writing. The notice of Unacceptable performance must include:

(1) The critical element(s) determined to be Unacceptable;

(2) The performance requirement(s) and Acceptable standard that must be attained to demonstrate acceptable performance;

(3) A reasonable opportunity to demonstrate acceptable performance;

(4) Assistance in improving performance which may include, but is not limited to, formal training, on-the-job training, counseling, close supervision or other appropriate measures;

(5) Notice to the employee that unless performance in the critical element(s) improves to and is sustained at the acceptable level, the employee will be reduced in grade, reassigned, or removed.

b. A rating of record of Unacceptable may not be assigned until the above requirement has been met. If, at the conclusion of the opportunity period, the employee's performance continues to be Unacceptable, the activity must initiate reassignment, reduction in grade, or removal action.

c. A rating of record of Unacceptable shall be reviewed and approved by a higher-level management official.

1-8. Grievances and Appeals. Covered employees may raise issues relating to the performance appraisal process through either the administrative grievance procedure or, where applicable, a negotiated grievance procedure. Appealable issues may be submitted to the Merit Systems Protection Board (MSPB). Guidance on grievable/ appealable matters is as follows:

- a. Contents of the individual performance plan are neither grievable nor appealable.
- b. Failure to inform employees of critical elements and standards within the required time frame is grievable.
- c. Ratings on individual elements and summary level ratings are grievable.
- d. Performance-based demotions and removals may be grieved through the appropriate negotiated grievance procedure or appealed to the MSPB, but not both.
- e. Awards are not grievable under administrative grievance procedures.

1-9. Performance Recognition.

a. Awards.

(1) Performance awards will be used as tools to acknowledge and motivate employees by recognizing and rewarding significant individual, team, or organizational achievements or contributions.

(2) Exemplary accomplishments may be recognized any time during the year with additional awards including, but not limited to, Special Act awards, time-off, honorary and informal recognition awards.

b. Quality Step Increases. The purpose of Quality Step Increases (QSI) is to provide appropriate incentives and recognition for excellence in performance by granting faster than normal step increases; therefore, careful consideration should be given before granting a QSI. An employee is eligible for only one quality step increase within any 52-week period. To be eligible for a QSI, General Schedule employees must meet the following criteria:

- (1) Received a rating of record of Acceptable;
- (2) Demonstrated sustained performance of high quality significantly above that expected at the Acceptable level, i.e., exceeded the Acceptable criteria depicting unusually good or excellent quality or high quantity of work provided ahead of schedule and with less than normal supervision; and
- (3) Made a significant contribution to the organization's mission; and
- (4) In addition, there must be an expectation that the high quality performance will continue in the future.

1-10. Relationship to Other Personnel Actions.

a. Within-Grade Increases.

(1) Federal Wage System (FWS). Employees receive within-grade increases, when eligible by time, if their performance is satisfactory. Satisfactory performance equates to an Acceptable rating of record.

(2) General Schedule (GS). Covered employees receive within-grade increases, when eligible by time, if their performance is at an acceptable level of competence. Acceptable level of competence equates to an Acceptable rating of record.

(3) FWS and GS. When a within-grade increase decision is not consistent with the employee's most recent rating of record, a more current rating of record must be prepared. The rating of record used as the basis for an acceptable level of competence determination for a within-grade increase must have been assigned no earlier than the most recently completed appraisal period. The notice of negative within-grade increase determination must state the Acceptable standard for any element evaluated at the Unacceptable level.

b. Promotions.

(1) Career-Ladder Promotions. Performance appraisals are used as a basis for determining eligibility for career-ladder promotions. To be promoted, an employee must be performing at the Acceptable level on all critical elements. However, the fact that an employee is rated Acceptable at the time he/she is eligible for a career-ladder promotion, does not mean that the promotion is automatic.

(2) Merit Promotion Actions. The rating of record should be used in merit promotion evaluations and by selecting officials to the extent it is relevant to the position to be filled.

c. Probationary Period.

(1) Initial Probationary Period. Evaluation of the employee's performance, as well as other considerations, should serve as a basis for the decision to retain or remove the employee from Federal Service during the probationary period.

(2) Supervisory and Managerial Probation. Evaluation of the employee's performance of supervisory or managerial elements of the position serves as a basis for the decision to retain or remove the employee from the supervisory or managerial position.

d. Removal, Demotion, and Reassignment.

(1) An employee whose performance is Unacceptable must be removed, reassigned, or reduced in grade, but only after the employee has had an opportunity to demonstrate acceptable performance.

(2) If, at the conclusion of the “opportunity” period, the employee’s performance continues to be Unacceptable, the activity must initiate reassignment, reduction in grade, or removal.

e. Reduction-in-Force (RIF).

(1) The rating of record for RIF purposes is the annual rating conducted at the time specified by the activity and special ratings conducted to support within-grade increase determinations. No rating may be assigned for the purpose of affecting an employee’s RIF retention standing.

(2) The three most recent ratings of record received in the last four years are factors in determining retention standing for RIF purposes. An employee receives additional years of service for each Acceptable rating.

f. Training and Development.

(1) Identification of training requirements to improve performance is a significant element in the appraisal process. The performance appraisal process should clearly identify areas where training and development may be appropriate. Whenever it is determined that an employee’s performance is Unacceptable, the first-level supervisor is responsible for assisting the employee in bringing his or her performance to the Acceptable level. This may be accomplished through counseling, closer supervision, on-the-job training, and/or formalized training, as appropriate.

(2) Performance plans related to training may include achievement of specific training objectives that may be determined to be critical or additional. Performance appraisals conducted as part of the employee’s individual training plan or other specialized training plan should be considered in the annual performance rating process. Such appraisals are interim appraisals and do not serve as the rating of record.

1-11. Transfer of Rating. When an employee’s Official Personnel Folder (OPF) is sent to another servicing office in the DON, another agency, or the National Personnel Records Center, all ratings of record completed in the previous four-year period, as well as the performance plan on which the most recent rating was based, are to be included in the OPF. Activities should take into consideration transferred ratings covering an employee’s performance within their current appraisal period when deriving the next rating of record.

1-12. Savings Provision. Actions initiated prior to the implementation of SECNAVINST 12430.4 shall continue to be processed consistent with CPI 430, i.e., DON’s Performance Appraisal Review System (PARS) or Alternative Performance Appraisal System (APAS).

APPENDIX A

EMPLOYEE PERFORMANCE ELEMENTS AND STANDARDS

Employee Performance Elements and Standards

Performance elements and standards must be in effect within 30 days after the start of the rating period. To implement these elements and standards, the supervisor must meet face-to-face with the employee to discuss and document the agreed upon work expectations and objectives. The performance elements and standards should be reviewed and related to the employee's assigned work. At the conclusion of this meeting, the supervisor must sign and date Section I on the Performance Review Program form. Section II is to be used to document the mid-cycle review. The performance elements and standards and summary ratings

will be documented in Section III. Performance elements and standards must be in effect a minimum of 90 days before an employee may be rated.

All performance elements are critical. To receive an Acceptable summary rating, the employee must meet the requirements in all of the performance elements and standards. If the employee FAILS one or more performance element or standard, the summary rating will be Unacceptable.

Enter at least one position specific-element and its standards. Then indicate other applicable elements and standards below.

Check if Applicable	Performance Elements	Performance Standards	Rating
<input type="checkbox"/> Yes <input type="checkbox"/> No	Customer Focus	<ul style="list-style-type: none"> - Demonstrates commitment to ensuring customer satisfaction - Assumes responsibility for resolving customer problems and complaints - Sets realistic customer expectations - Follows through to ensure commitments to customers are met - Solicits input and is open to ideas from customers - Develops customer confidence 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Communication	<ul style="list-style-type: none"> - Clearly communicates ideas verbally and in writing - Keeps supervisor, customers, and co-workers informed - Promotes and uses candid and open communication - Provides correct and consistent information - Uses appropriate and efficient channels of communication 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Technical Knowledge	<ul style="list-style-type: none"> - Understands the duties and responsibilities of the job - Has the knowledge, skills and abilities to do the job - Understands the mission and values of the command - Stays current with new developments, changing priorities or requirements - Keeps abreast of critical issues and details 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Quality	<ul style="list-style-type: none"> - Completes work assignment in a timely manner - Demonstrates attention to detail and accuracy - Shows a commitment to quality and excellence - Seeks and makes continuous improvement - Identifies the cause of quality deficiencies - Takes action to resolve problems when quality falls below acceptable level 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Teamwork	<ul style="list-style-type: none"> - Works effectively in groups and helps others to get the job done - Participates in resolving team conflicts - Establishes and maintains cooperative working relationships - Remains flexible and open to new or different ideas - Focuses team efforts on most effective mission oriented strategies 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Safety	<ul style="list-style-type: none"> - Keeps the workplace safe, clean, and free of clutter and hazards - Adheres to organization safety program instructions 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Classified Information Management		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Increased Cost Savings and Competition Contracts		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable

Performance Review Program

Employee Performance Elements and Standards - cont'd

Check if Applicable	Performance Elements	Performance Standards	Rating
<input type="checkbox"/> Yes <input type="checkbox"/> No	Audit Follow-up		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Protecting Classified Information		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Internal Management Control		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Inventory Management		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Acquisitions		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Regulatory Reinvention		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable

APPENDIX B

SUPERVISORY PERFORMANCE ELEMENTS AND STANDARDS

Performance Review Program

Supervisory Performance Elements and Standards

Performance elements and standards must be in effect within 30 days after the start of the rating period. To implement these elements and standards, the supervisor must meet face-to-face with the employee to discuss and document the agreed upon work expectations and objectives. The performance elements and standards should be reviewed and related to the employee's assigned work. At the conclusion of this meeting, the supervisor must sign and date Section I on the Performance Review Program form. Section II is to be used to document the mid-cycle review. The performance elements and standards and summary ratings

will be documented in Section III. Performance elements and standards must be in effect a minimum of 90 days before an employee may be rated.

All performance elements are critical. To receive an Acceptable summary rating, the employee must meet the requirements in all of the performance elements and standards. If the employee FAILS one or more performance element or standard, the summary rating will be Unacceptable.

Check if Applicable	Performance Elements	Performance Standards	Rating
<input type="checkbox"/> Yes <input type="checkbox"/> No	Technical Competence	<ul style="list-style-type: none"> - Sets realistic goals and milestones - Exhibits the knowledge, skills and abilities required to obtain desired results - Effectively and efficiently secures, allocates, and manages mission resources - Develops efficient procedures and systems - Coordinates and monitors assignments and projects throughout the organization - Establishes priorities that reflect mission and organizational needs 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	People Management	<ul style="list-style-type: none"> - Establishes a customer focused environment and ensures customer satisfaction - Encourages and motivates employees - Defines vision and communicates goals - Communicates roles and responsibilities, and delegates work fairly and efficiently - Maintains an enjoyable, positive and challenging work environment - Recognizes and rewards individual and team contributions in a timely manner 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Performance Management	<ul style="list-style-type: none"> - Takes action to quickly resolve performance issues - Communicates clear and consistent performance expectations - Develops employees through mentoring, coaching, and training - Documents performance problems and handles them with authority and tact 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Leadership	<ul style="list-style-type: none"> - Acts as a persuasive leader who gets results - Demonstrates fair and impartial leadership - Sets and achieves high standards with a team - Develops a shared sense of purpose with focus and direction - Implements key organization policies 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Accountability	<ul style="list-style-type: none"> - Plans for, develops and establishes realistic budgets - Tracks and adjusts expenditures to remain within approved budget - Makes appropriate changes to meet mission essential fiscal requirements - Consistently communicates budget and/or resource changes and priorities - Schedules and approves hours of work and leave requests - Verifies accuracy of time and attendance records 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Hiring Practices	<ul style="list-style-type: none"> - Defines position and required applicant knowledge, skills and abilities - Selects and retains high quality people by creating a positive and challenging work environment - Prepares for and conducts thorough interview - Makes sound hiring decisions based on candidate experience - Develops teams with diverse skills and strengths 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	EEO	<ul style="list-style-type: none"> - Sets the example and encourages participation in EEO Special Emphasis events - Takes action to stop discriminatory behavior and sexual harassment among employees - Cooperates in resolving discrimination complaints - Supports EEO program goals, objectives and provides on-going training to employees - Attends mandatory EEO training and ensures employee participation 	<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable

Performance Review Program

Supervisory Performance Elements and Standards - cont'd

Check if Applicable	Performance Elements	Performance Standards	Rating
<input type="checkbox"/> Yes <input type="checkbox"/> No	Safety		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Audit Follow-up		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Protecting Classified Information		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Internal Management Control		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Inventory Management		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Acquisitions		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Regulatory Reinvention		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No	Increased Cost Savings and Competition in Contracts		<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable
<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable

APPENDIX C

ADDITIONAL PERFORMANCE REQUIREMENTS

1. Purpose. Specific provisions of law, regulation, and DOD policy require certain matters to be considered in the performance evaluations of some employees. Except as provided below, this does not require the establishment of specific performance elements and standards addressing the individual's performance. Rating officials may just consider these requirements in the performance rating or provide narrative evaluations of progress in meeting these requirements, e.g., in a statement on an appraisal form reserved for remarks.

2. DOD Performance Evaluation Requirements

a. Audit Follow-Up. Performance evaluations of appropriate managers must reflect the degree of effectiveness in addressing audit findings and recommendations and implementing agreed-upon corrective actions as required by Office of Management and Budget (OMB) Circular A-50, "Audit Follow-Up," September 29, 1982. This requirement applies to audits conducted by the General Accounting Office (GAO) and the DOD Inspector General. This requirement is established in paragraph E.3.g. of DOD Directive 7650.3, "Follow-Up on General Accounting Office, DOD Inspector General, Internal Audit, and Internal Review Reports," September 5, 1989.

b. Protecting Classified Information. Performance evaluations of all employees whose duties involve access to classified information must include a comment by rating officials pertaining to an employee's discharge of security responsibilities. This requirement is established in paragraph 9-102(d) of DOD 5200.2-R, "Personnel Security Program," January 1987.

c. Internal Management Control. Performance evaluations of managers who have significant Internal Management Control (IMC) responsibilities must reflect the accountability for the success or failure of IMC practices. This requirement is established in paragraph E.3.d. of DOD Directive 5101.39, "Internal Management Control Program," April 14, 1987.

d. Equal Employment Opportunity (EEO). Performance evaluations of supervisors, managers, and other personnel with

EEO responsibility must have a critical element on EEO. This requirement is established in paragraph E.2.f. of DOD Directive 1440.1, "The DOD Equal Employment Opportunity (EEO) Program," May 21, 1987.

e. Inventory Management. Performance evaluations of individuals employed at Inventory Control Points must give appropriate consideration to efforts made by these individuals to eliminate wasteful practices and achieve cost savings in the acquisition and management of inventory items. This requirement is established in section 2458 of Title 10, United States Code.

f. Acquisitions. Persons serving in acquisition positions in the same acquisition career field must be provided an opportunity for review and inclusion of any comments on any appraisal of the performance of a person serving in an acquisition position. This requirement is established in paragraph D.19 of DOD Directive 5000.52, "Defense Acquisition Education, Training, and Career Development Program," October 25, 1991.

g. Regulatory Reinvention. Performance measurements of persons who are front-line regulators, i.e., those who have authority to order a corrective action or levy a fine on a business or other government entity, must focus on results, not process and punishment. Therefore, such measures should not be based on process, e.g., number of visits to a business or government entity or punishment, e.g., number of violations found, number of fines levied on a business or government entity. This requirement is established by a Presidential Memorandum for heads of Federal departments and agencies, "Regulatory Reinvention Initiative," March 4, 1995.

h. Classified Information Management. The performance ratings of civilian employees who are original classification authorities, security managers or security specialists, or significantly involved in the creation or handling of classified information must include the management of classified information as a critical element or item to be evaluated. This requirement is established in section 5.6.(c)(7) of Executive Order 12958, "Classified National Security Information," April 17, 1995.

i. Safety. Responsible DOD officials at each management level, including first level supervisors, must to the extent of their authority, comply with the DOD Occupational Safety and Health program guidance and regulations. Performance

evaluations of those employees must reflect personal accountability in this respect, consistent with the duties of the position, with appropriate recognition of superior performance, and conversely, with corrective administrative action, as appropriate, for deficient performance. This requirement is established in Enclosure 2 to DOD Instruction 6055.1, "DOD Occupational Safety and Health Program," October 26, 1984.

j. Increased Competition and Cost Savings in Contracts. Performance evaluations of officials involved in contracting and acquisition must give appropriate recognition to efforts to increase competition and achieve cost savings. This requirement is established in section 2317 of Title 10, United States Code.